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National adaptation plans

Progress, experience, best practices, lessons learned, gaps, needs and support provided and received in the process to formulate and implement national adaptation plans

Synthesis report by the secretariat

Summary

This document compiles information on progress, experience, best practices, lessons learned, gaps and needs, support received by developing country Parties and support provided by developed country Parties in the process to formulate and implement national adaptation plans as at 9 February 2018, in accordance with decision 4/CP.21, paragraph 12(c).

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I. Introduction

A. Mandate

1. By decision 4/CP.21, the Conference of the Parties (COP) requested the Subsidiary Body for Implementation (SBI) to assess progress in the process to formulate and implement national adaptation plans (NAPs) at SBI 48 with a view to making recommendations thereon to the COP, as appropriate.

2. It decided on the following actions and steps necessary for the SBI to initiate the assessment:[1]

(a) To invite Parties and relevant organizations to submit to the secretariat, by 1 February 2018, information on progress towards achieving the objectives of the process to formulate and implement NAPs, and experience, best practices, lessons learned, gaps and needs, and support provided and received in the process to formulate and implement NAPs;

(b) To also invite Parties to provide information, guided by a questionnaire, on an ongoing basis through NAP Central;

(c) To request the secretariat to prepare a synthesis report on progress towards achieving the objectives of the process to formulate and implement NAPs, and experience, best practices, lessons learned, gaps and needs, and support provided and received in the process to formulate and implement NAPs, taking into account information contained in national reports under the Convention, the information referred to in paragraph 2(a) and (b) above, information from relevant events, including the NAP Expos, and information from other relevant sources;

(d) To also request the Least Developed Countries Expert Group (LEG), in collaboration with the Adaptation Committee, to organize a meeting of Party experts, at which the report referred to in paragraph 2(c) above would be considered, with a view to providing a summary of progress in the process to formulate and implement NAPs;

(e) To further request the LEG, in collaboration with the Adaptation Committee and with the support of the secretariat, to prepare a report on the meeting referred to in paragraph 2(d) above for consideration at SBI 48 in the assessment of progress in the process to formulate and implement NAPs.[2]

3. It also decided that the assessment should take into account all the guiding principles of the process to formulate and implement NAPs contained in decision 5/CP.17, paragraph 3.

B. Scope

4. This report was prepared in line with the mandate reproduced in paragraph 2(c) above. It synthesizes information available as at 9 February 2018.

5. In addition to the sources referred to in paragraph 2(a–c) above, the report draws on the information presented in the note on progress in the process to formulate and implement NAPs published in 2017[3] and additional information and analysis carried out by the following organizations:

(a) Climate Service Center Germany (GERICS), on the state of best available science for adaptation planning and on how countries apply the best available science in their work on NAPs;

(b) Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), on country experience of monitoring and evaluating the process to formulate and implement NAPs;

[1] Decision 4/CP.21, paragraph 12.
[2] FCCC/SBI/2018/6.
[3] FCCC/SBI/2017/INF.12.

(c) NAP Global Network, on how developing countries have integrated gender considerations into the process to formulate and implement NAPs;

(d) Southern Voices on Adaptation, on participation and transparency in the NAP process;

(e) The National Adaptation Plan Global Support Programme (NAP-GSP), jointly administered by the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP), on progress made by developing countries towards enhancing the coherence of adaptation and development planning through the process to formulate and implement NAPs.

6. This document also covers the analysis by the LEG of ongoing projects and activities that will contribute to the achievement of the objectives of the process to formulate and implement NAPs in developing countries.

II. Overview of the process to formulate and implement national adaptation plans

7. COP 16 decided to establish the process to formulate and implement NAPs to enable the least developed country (LDC) Parties to identify medium- and long-term adaptation needs, and invited other developing country Parties to employ the modalities formulated to support the NAP process.[4]

8. Between 2011 and 2016, the COP adopted several decisions on NAPs[5] containing mandates in relation to, inter alia, their overall framing, technical guidelines, financial and technical support, reporting and communication of NAPs and relevant outputs through NAP Central, and the assessment of progress in 2018. Furthermore, COP 21 requested the Green Climate Fund (GCF) to expedite support for the LDCs and other developing country Parties for the formulation of NAPs, consistent with decisions 1/CP.16 and 5/CP.17, and for the subsequent implementation of policies, projects and programmes identified in them.[6]

9. The objectives of the process to formulate and implement NAPs are as follows:[7]

(a) To reduce vulnerability to the impacts of climate change by building adaptive capacity and resilience;

(b) To facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate.

10. The initial guidelines for the formulation of NAPs[8] set out the following elements of the NAP process:

(a) Laying the groundwork and addressing gaps;

(b) Preparatory elements;

(c) Implementation strategies;

(d) Reporting, monitoring and review.

11. The subsequent technical guidelines for the process to formulate and implement NAPs,[9] prepared by the LEG as mandated by the COP,[10] are based on the elements listed in

[4] Decision 1/CP.16, paragraphs 15 and 16.
[5] Decisions 5/CP.17, 12/CP.18, 18/CP.19, 3/CP.20, 4/CP.21 and 6/CP.22.
[6] Decision 1/CP.21, paragraph 46.
[7] Decision 5/CP.17, paragraph 1.
[8] Decision 5/CP.17, annex.
[9] Available in several languages at https://unfccc.int/topics/adaptation-and-resilience/workstreams/national-adaptation-plans-naps/guidelines-for-national-adaptation-plans-naps.
[10] Decision 5/CP.17, paragraph 15.

paragraph 10 above. The Adaptation Committee reviewed the guidelines and invited developing country Parties that are not LDCs to apply the guidelines, depending on individual country circumstances.

12. Numerous supplementary materials, tools and methods, and outreach products have been developed by the LEG, the Adaptation Committee, relevant organizations and NAP support programmes to support the formulation and implementation of NAPs, most of which cover one or more of the elements set out in the NAP technical guidelines.[11]

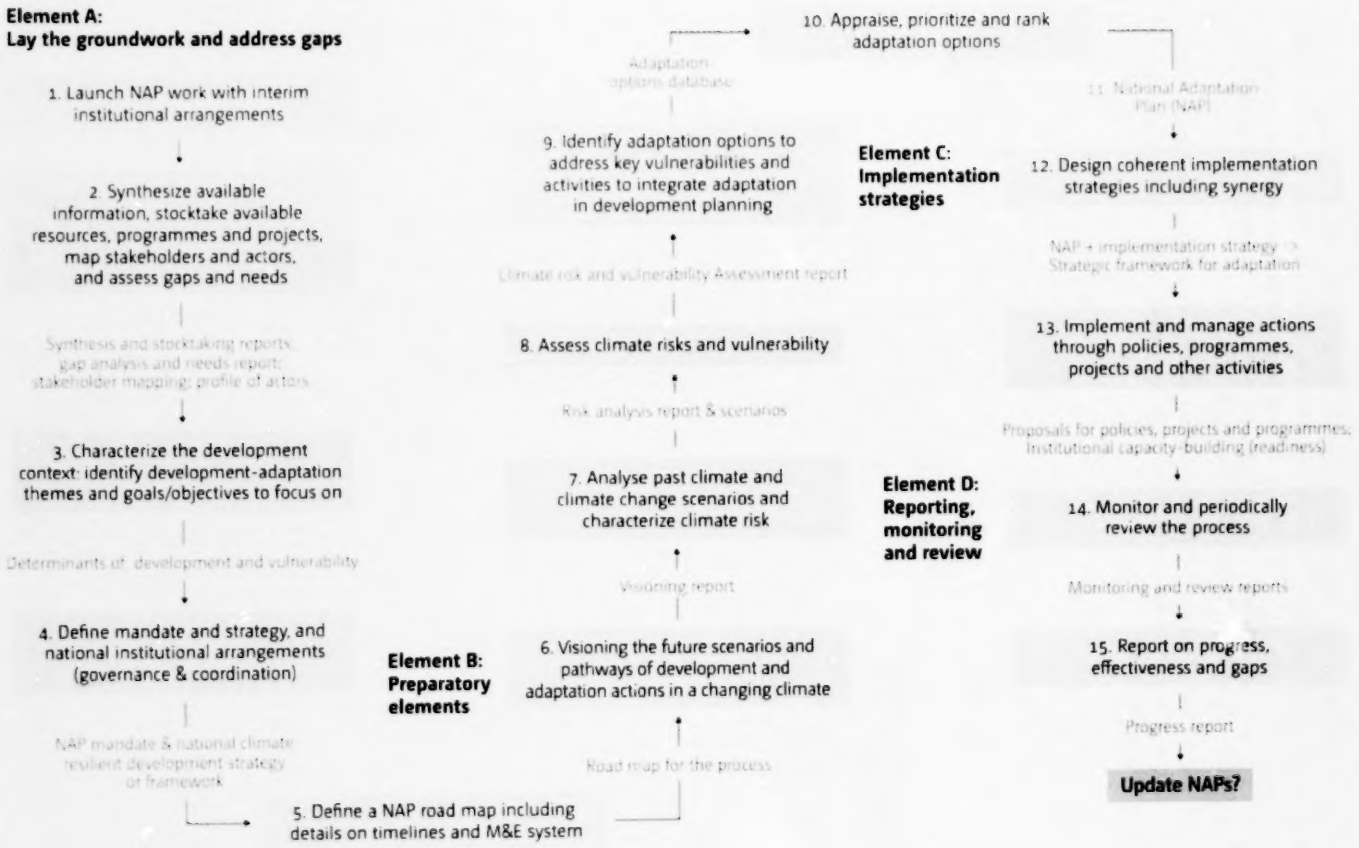
13. Furthermore, the LEG, with the support of the NAP technical working group, is developing an Integrative Framework for National Adaptation Plans and Sustainable Development Goals (NAP-SDG iFrame)[12] to help integrate different assessment approaches into NAPs and to enable explicit consideration of how to contribute to addressing the Sustainable Development Goals (SDGs) through NAPs.

14. In addition, the LEG developed a sample process to formulate and implement NAPs, with input from experts and country participants, to provide a logical flow of the activities in a typical process (see figure 1).

[11] See http://www4.unfccc.int/nap/Guidelines/Pages/Supplements.aspx.

[12] See document FCCC/SBI/2017/6, paragraph 35.

Figure 1
Sample process to formulate and implement national adaptation plans


Element A:
Lay the groundwork and address gaps
1. Launch NAP work with interim institutional arrangements
2. Synthesize available information, stocktake available resources, programmes and projects, map stakeholders and actors, and assess gaps and needs
Synthesis and stocktaking reports; gap analysis and needs report; stakeholder mapping; profile of actors
3. Characterize the development context: identify development-adaptation themes and goals/objectives to focus on
Determinants of development and vulnerability
4. Define mandate and strategy, and national institutional arrangements (governance & coordination)
NAP mandate & national climate resilient development strategy or framework
5. Define a NAP road map including details on timelines and M&E system
Element B: Preparatory elements
Road map for the process
6. Visioning the future scenarios and pathways of development and adaptation actions in a changing climate
Visioning report
7. Analyse past climate and climate change scenarios and characterize climate risk
Risk analysis report & scenarios
8. Assess climate risks and vulnerability
Climate risk and vulnerability Assessment report
9. Identify adaptation options to address key vulnerabilities and activities to integrate adaptation in development planning
Adaptation options database
10. Appraise, prioritize and rank adaptation options
Element C: Implementation strategies
11. National Adaptation Plan (NAP)
12. Design coherent implementation strategies including synergy
NAP + implementation strategy => Strategic framework for adaptation
13. Implement and manage actions through policies, programmes, projects and other activities
Proposals for policies, projects and programmes; institutional capacity-building (readiness)
Element D: Reporting, monitoring and review
14. Monitor and periodically review the process
Monitoring and review reports
15. Report on progress, effectiveness and gaps
Progress report
Update NAPs?

Note: Steps (in boxes) and their outputs that act as inputs for subsequent steps are shown.
Abbreviations: M&E = monitoring and evaluation; NAP = national adaptation plan.

III. Progress, experience, best practices and lessons learned of developing country Parties in the process to formulate and implement national adaptation plans

A. Reducing vulnerability to climate change – framing vulnerability and risk in the context of assessing progress in reducing vulnerability over time

1. Framing vulnerability to climate change

15. According to the Intergovernmental Panel on Climate Change (IPCC), vulnerability refers to the propensity or predisposition to be adversely affected and encompasses a variety of concepts and elements, including sensitivity or susceptibility to harm and lack of capacity to cope and adapt.[13] The first objective of the process to formulate and implement NAPs is to reduce vulnerability to climate change by building adaptive capacity and resilience.

16. The following aspects need to be considered to understand countries' progress in reducing vulnerability:

(a) What the countries are vulnerable to, on the basis of information in NAPs and other reports;

(b) The actions being implemented by countries, including whether those actions are likely to lead to a reduction in vulnerability and whether there are common measures;

(c) Countries' framing of vulnerability or risk;

(d) Existing descriptions, estimates or measurements of vulnerability at the national level, and/or aggregate measurements of vulnerability at the international level.

2. Progress in reducing vulnerability

17. Many developing countries have launched the process to formulate and implement NAPs. As at 11 April 2018, 10 developing countries had submitted their NAPs to the secretariat (see table 1). A few other countries indicated that their NAPs have been compiled and are undergoing national multi-stakeholder review and/or official endorsement. Most other countries are still at the laying the groundwork and preparatory elements stages of the process to formulate and implement NAPs and have yet to complete enough activities to be able to fully present a plan.

18. None of the countries that have completed the formulation of their NAPs have yet implemented the prioritized policies, projects or programmes identified therein. It is therefore not yet possible to determine whether and to what extent they will result in reducing vulnerability to climate change.

19. A detailed compilation of activities and measures undertaken by countries based on the steps and activities in the sample process to formulate and implement NAPs is provided in table 2.

20. The Caribbean Community shared that, while its member States have not yet finalized their NAPs, several are developing NAPs, including using sectoral plans as a basis. Countries in the region have been, for example, preparing NAP road maps, developing sectoral strategies and investment plans, writing climate assessment reports, updating existing plans, providing training and capacity-building, strengthening national coordination and procuring external support (e.g. consultants).

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[13] IPCC. 2014. *Climate Change 2014: Synthesis Report. Contribution of Working Groups I, II and III to the Fifth Assessment Report of the Intergovernmental Panel on Climate Change*. Core Writing Team, RK Pachauri and LA Meyer (eds.). Geneva: IPCC. Available at http://ar5-syr.ipcc.ch/ipcc/ipcc/resources/pdf/IPCC_SynthesisReport.pdf.

Table 1
National adaptation plans submitted to the secretariat

Country	*Date of submission*	*Language(s)*
Brazil	12 May 2016	English, Portuguese
Burkina Faso	15 October 2015	English, French
Cameroon	26 October 2015	French
Chile	7 September 2017	Spanish
Colombia	27 February 2018	Spanish
Kenya	28 February 2017	English
Sri Lanka	1 November 2016	English
State of Palestine	11 November 2016	English
Sudan	26 September 2016	English
Togo	17 January 2018	French

Source: NAP Central, available at http://www4.unfccc.int/nap/Pages/national-adaptation-plans.aspx.

21. The *Framework for Resilient Development in the Pacific: An Integrated Approach to Address Climate Change and Disaster Risk Management (FRDP) 2017–2030*[14] provides strategic guidance to stakeholders in the Pacific islands region on how to enhance resilience to climate change and disasters in ways that contribute to sustainable development. The framework has three goals: strengthened integrated adaptation and risk reduction to enhance resilience to climate change and disasters; low-carbon development; and strengthening disaster preparedness, response and recovery. The framework serves as a guide to countries in the region on adopting integrated approaches to enhancing resource efficiency, rationalizing multiple sources of funding and effective mainstreaming of risks in development plans and budgets. The framework does not replace existing national strategies and plans on adaptation but rather supports and encourages complementarity of actions. Furthermore, the framework provides a space for countries in the region to exchange lessons learned and best practices as they deal with the same vulnerabilities and risks.

22. On the basis of progress thus far by countries in the process to formulate and implement NAPs, it is too early to assess whether and to what extent the objective of reducing vulnerability is being achieved. This is mainly because countries have yet to initiate the implementation of the policies, projects and programmes identified in their NAPs. However, countries are undertaking incremental measures as part of the process that will contribute towards reducing vulnerability to climate change.

23. Developing countries continue to implement projects and programmes (e.g. under their national adaptation programmes of action (NAPAs)) that include measures that will contribute towards reducing vulnerability.

24. Lessons learned and experience from developed countries (e.g. the European Union member States that have formulated NAPs and have adopted the adaptation planning process) continue to be a useful resource for developing countries as they implement measures in the process to formulate and implement NAPs.

[14] Available at http://gsd.spc.int/frdp/assets/FRDP_2016_Resilient_Dev_pacific.pdf.

Table 2
Summary of measures undertaken by developing country Parties in the process to formulate and implement national adaptation plans as at 16 March 2017

Element of national adaptation plan process	*Number of developing countries*[a]	*Measure*
Laying the groundwork and addressing gaps	82 (40)	Initiating and/or launching the process to formulate and implement national adaptation plans (NAPs)
	47 (15)	Submitting proposals to the Green Climate Fund for readiness funding for NAPs[b]
	7 (4)	Formulating a mandate for the process
	27 (15)	Defining institutional arrangements and a coordination mechanism
	28 (17)	Consulting stakeholders
	41 (27)	Synthesizing available information, stocktaking of relevant activities and assessing gaps and needs
	23 (18)	Developing road maps for the process to formulate and implement NAPs
	18 (16)	Completing road maps for the process to formulate and implement NAPs
Preparatory elements	26 (16)	Analysing past climate and climate change scenarios
	3 (1)	Comprehensively assessing climate vulnerability (science and knowledge)
	33 (21)	Undertaking activities for integrating adaptation into national and subnational development planning
	12 (6)	Identifying adaptation options to address key vulnerabilities
	13 (6)	Appraising, prioritizing and ranking adaptation options
	11 (3)	Compiling draft NAPs for consultation and endorsement
	10 (3)	Communicating NAPs
Implementation strategies	7 (4)	Prioritizing climate change adaptation in national planning
	8 (2)	Designing coherent implementation strategies, including synergies
	- (-)	Implementing and managing actions in NAPs to reduce vulnerability and to facilitate the integration of adaptation into development planning through policies, projects, programmes and other activities
Reporting, monitoring and review	14 (6)	Designing/applying a monitoring and evaluation framework or system
	20 (10)	Communicating progress on NAPs
	- (-)	Monitoring and periodically reviewing the NAP process
	- (-)	Iteratively updating NAPs

Note: Update to table 1 in document FCCC/SBI/2016/INF.11. The full list of measures and of the Parties that have undertaken them is available at http://unfccc.int/9295. The total number of developing countries is 153.

[a] Figures in parentheses indicate the number of least developed countries.

[b] Other countries have received either partial or full support from bilateral and other sources for NAP formulation.

3. Experience in reducing vulnerability through national adaptation programmes of action

25. The submission from the LDCs highlights that it is important to build on the experience of preparing and implementing NAPAs. This section provides an overview of the information on key vulnerabilities, climate hazards and adaptation measures provided

by the LDCs in their NAPA project documents. In total, 61 project documents from 49 LDCs were analysed to generate a quantitative overview of the vulnerable sectors, communities and/or areas; key climate hazards; and priority adaptation measures identified in the projects. This overview should help explain the most common urgent concerns that the LDCs have as well as the common types of effort that the LDCs have implemented or are implementing through the projects.

(a) Vulnerable sectors, communities and/or areas

26. The project documents provided information on the most vulnerable sectors, communities and/or areas based on assessments of impacts, vulnerabilities and risks as well as on analyses of broader economic, social and geographic considerations. Vulnerabilities are generally created by a combination of climate impacts and socioeconomic or geographic circumstances.

27. Though in this section vulnerabilities are categorized by sector, community or area, the information communicated by countries reflects the interconnected nature of vulnerabilities. For example, vulnerabilities that are closely connected include those related to agriculture, food security, rural communities and water; coastal infrastructure and tourism; and energy and water.

28. Figure 2 presents the most common vulnerable sectors identified by countries, including within different regions or regional groups, in their project documents, as follows:

(a) Many countries identified agriculture and associated areas such as crops, livestock and marine fisheries as an area of concern;

(b) Most countries found water resources, which are closely connected with agriculture, sanitation, health and energy, to be a priority concern;

(c) Many small island developing States identified coastal infrastructure as a priority area;

(d) Most countries also identified food security as a concern, as it is closely related to agriculture and associated areas;

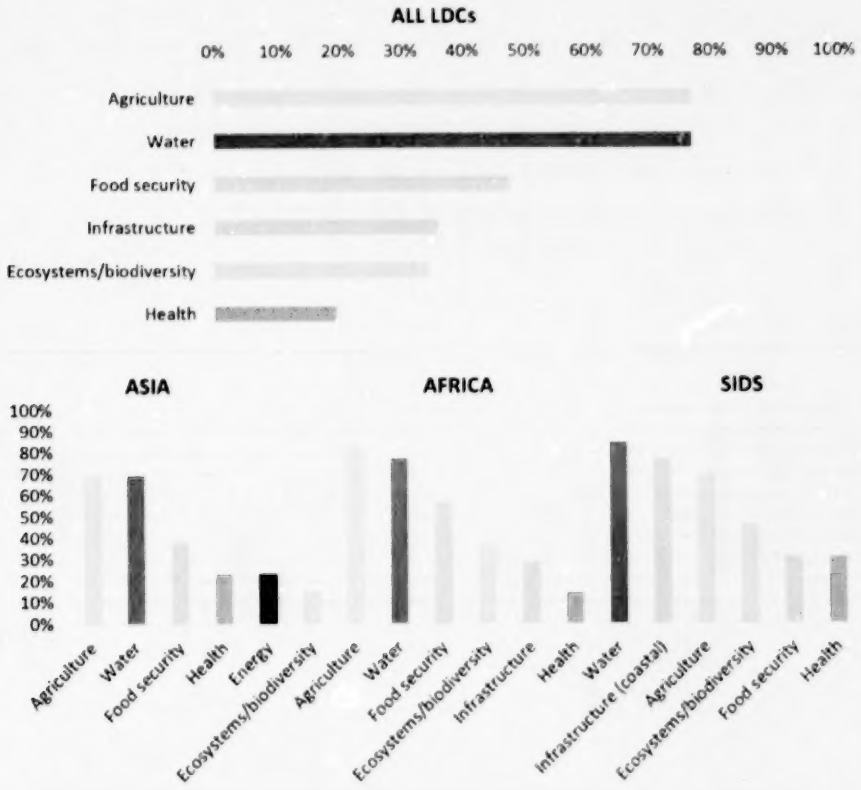
(e) Some countries focused on ecosystems and biodiversity, including terrestrial and marine ecosystems;

(f) Some countries prioritized infrastructure, including coastal infrastructure, buildings, transportation and communications;

(g) A few countries identified health and associated impacts as a vulnerable area.

Figure 2

Key vulnerable sectors identified in the national adaptation programme of action project documents of the least developed countries



Abbreviations: LDCs = least developed countries, SIDS = small islands developing States.

29. Although vulnerabilities were mainly described in terms of sectors in the project documents, vulnerable communities or geographic areas were also identified:

(a) In terms of the most vulnerable communities, rural populations, coastal communities, poor populations and women were highlighted;

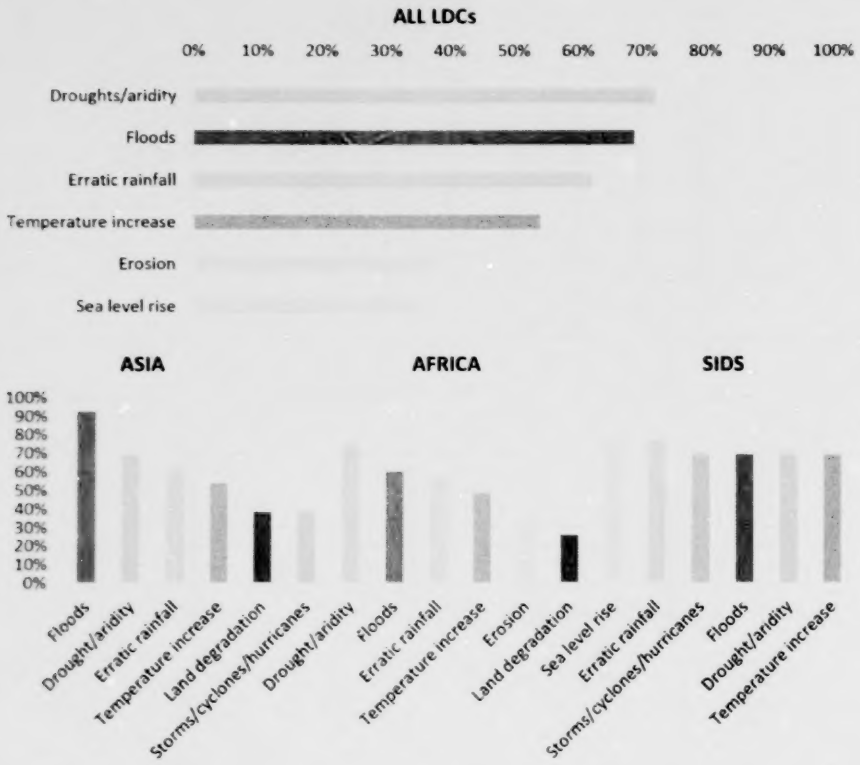
(b) Areas most often identified as vulnerable were coastal areas, rural areas, cities, river valleys and oasis areas. In addition, specific geographic regions within the countries in which the projects are intended to be implemented were identified.

(b) Key climate hazards

30. In terms of the climate impacts of highest concern, countries highlighted droughts, floods, erratic rainfall, higher temperatures, sea level rise and storms/cyclones/hurricanes. Similar to vulnerabilities, climate hazards are interconnected and usually presented as clusters. They may occur individually or in conjunction with each other, and each hazard can have impacts on many of the above vulnerable sectors in parallel, sequentially or through a complex interaction with other factors. Figure 3 illustrates which climate impacts were highlighted most often in the project documents, including across different groups of countries.

Figure 3

Common climate hazards identified in the national adaptation programme of action project documents of the least developed countries



Abbreviations: LDCs = least developed countries, SIDS = small islands developing States.

(c) Adaptation measures

31. The measures identified in the project documents can be categorized into five types:

(a) Undertaking sector-specific pre-emptive adaptation interventions in relation to agriculture, water and coastal protection. Agricultural measures identified include drought-resilient crops; food storage, monitoring and distribution; and training for farmers, local administrations and other stakeholders. In the water sector, measures include water harvesting and storage, integrated water resources management practices and water treatment facilities. For coastal protection, countries highlighted measures such as coastal afforestation, integrated coastal zone management practices and sand banks;

(b) Integrating adaptation into strategies, policies, plans and investments. Integration measures focus on national development plans and sectoral plans, especially for agriculture, water and coastal zones. They are pursued by developing tools and guidelines and by providing training to policymakers, communities and practitioners in various sectors (see also chapter III.B.3 below);

(c) Enhancing the information basis for adaptation. For this purpose, countries focused on enhancing and disseminating information, knowledge and data; developing early warning systems; strengthening tools for risk and vulnerability assessment; and putting in place monitoring and evaluation systems;

(d) Strengthening national institutions and building institutional capacities. Measures highlighted by countries to this end include establishing national mechanisms, platforms or training centres for learning and disseminating information, and enhancing

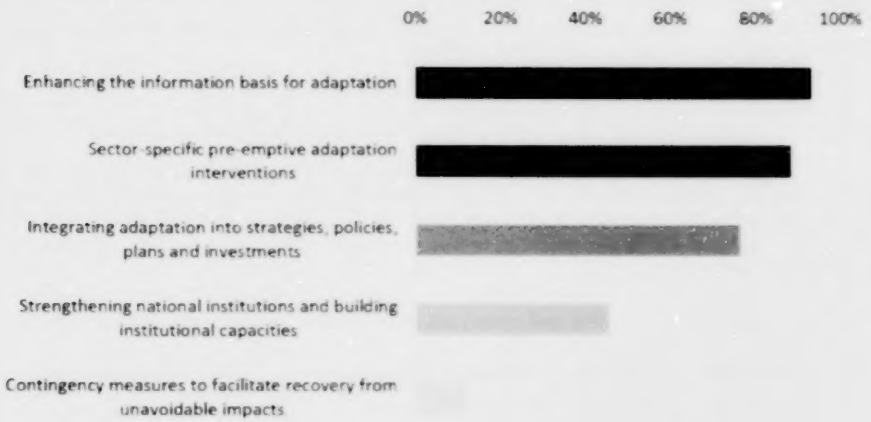
coordination among existing or new institutions such as a national climate change committee or sector-specific institution;

(e) Identifying contingency measures to facilitate recovery from unavoidable impacts. Measures such as training civil protection personnel, organizing regular national drills and exercises, and developing and disseminating disaster response plans were identified.

32. The project documents indicate that countries have focused mainly on the first four types of measure, with less attention given to the last. Figure 4 indicates the frequency of the adaptation measures being mentioned in the project documents.

Figure 4

Types of adaptation measure reflected in the national adaptation programme of action project documents of the least developed countries



B. Facilitating integration of adaptation into development planning – achieving integration and coherence of adaptation planning and implementation in the national setting

1. Achieving integration and coherence of adaptation planning and implementation

33. Adaptation is defined in the NAP technical guidelines as a process, adjustment or outcome, which captures the breadth of NAPs. The objective of integration is to reflect the process aspect, and integration is an important part of the process to formulate and implement NAPs.

34. The activities and outputs of integrating climate change adaptation into national development planning processes in the context of the process to formulate and implement NAPs shared by countries thus far are described in chapter III.B.2 below. Analysis of these activities indicates that the effort to integrate adaptation begins as soon as the mandate or directive has been issued to make adaptation a priority in the country. This evolves into setting up the systems and mechanisms (i.e. institutional arrangements) as well as defining the guidelines and methodologies, to reach the point at which adaptation priorities are addressed with equal importance as development issues and the government provides human and financial resources through its annual budget appropriation.

35. The sample process to formulate and implement NAPs developed by the LEG provides a useful visualization of how information flows from one activity to another, thereby helping countries identify the minimum information they need for the process to formulate and implement NAPs. The sample process likewise provides a summary of activities into which climate change adaptation can be integrated, either in each activity or milestone or as an overall goal set for the NAP.

2. Progress towards integration and coherence of adaptation planning and implementation

36. Many countries have put provisions in place and undertaken activities that support the integration of adaptation into development planning and regulatory processes at various levels of government, including:

(a) National climate change policies or strategies, offering a basis for integrating adaptation into development planning;

(b) Integrating adaptation into national, subnational and sectoral development plans by adding the consideration of climate change into the design of priority programmes;

(c) Identifying and implementing 'climate-proofed' activities and plans of the government;

(d) Public expenditure reviews to determine the amount spent by the national government on climate change adaptation;

(e) National budget codes to track budget allocation to national climate change activities;

(f) Integrating adaptation into investment and business plans;[15]

(g) Strengthening the capacity to prioritize adaptation in development.

37. Some countries have applied a systems approach in their assessments to bring together different assessment approaches, often previously conducted on a sectoral basis, and to enable explicit consideration of how to link adaptation to development.[16] The approach has also helped countries to look at issues at a broader level, including assessing synergies and trade-offs.

3. Experience of integration and coherence of adaptation planning and implementation

(a) Experience from the process to formulate and implement national adaptation plans

38. Countries recognize the importance of considering adaptation in the context of development efforts. In undertaking the process to formulate and implement NAPs, many countries have recognized and applied a development-centred approach to assessing climate vulnerabilities.

39. A continuum between development and additional adaptation is needed to achieve climate-resilient development. Technical methods are needed to facilitate the analysis of additionality in the context of the GCF and other climate finance instruments that require it. It is important to carefully plan and address the integration of adaptation across multiple levels in tandem with resource requirements.

40. Integrative systems approaches are helpful in addressing the coherence and synergy of adaptation action at multiple scales and levels, including over time, considering other relevant frameworks such as the SDGs and the Sendai Framework for Disaster Risk Reduction 2015–2030. For example, the submission from the LDCs indicates that efforts would benefit from linking and aligning with the 2030 Agenda for Sustainable Development, the Sendai Framework, the New Urban Agenda and other relevant initiatives. The submission also emphasizes the importance of ensuring the integration of key elements of the Paris Agreement.

41. The process to formulate and implement NAPs enables countries to undertake risk and vulnerability assessments for key economic sectors, which in turn inform long-term development plans at the national level.

(b) Experience from other ongoing projects and programmes

42. In their NAPA project documents, countries identified many measures for integrating and/or mainstreaming adaptation into national or sectoral strategies, policies and

[15] See document FCCC/SBI/2016/INF.11, paragraph 27.
[16] See document FCCC/SBI/2017/INF.12, paragraph 24.

plans. Integration and/or mainstreaming efforts are diverse, but focus mainly on integrating and/or mainstreaming adaptation at the level of national development or investment plans or sector-specific plans.

43. The general approaches to integration and/or mainstreaming identified include:

(a) Considering climate risk when developing sectoral policies, investments or practices;

(b) Developing tools and institutions for integrating and/or mainstreaming adaptation;

(c) Providing policymakers and practitioners with relevant training and information;

(d) Defining disaster risk reduction guidelines for all sectors;

(e) Establishing an interministerial coordination mechanism to facilitate integration and/or mainstreaming.

44. In terms of sector-specific plans, the focus of integration and/or mainstreaming includes the following sectors:

(a) Agriculture, for example by establishing an intersectoral task force to facilitate the involvement of partner projects and national and subnational programmes in mainstreaming adaptation in policies and programmes;

(b) Coastal planning, for example by integrating climate risk management standards into coastal management and development, zoning regulations and disaster strategies and/or by revising local development plans of vulnerable coastal regions to integrate climate change risks;

(c) Fisheries, for example by providing training to fishers on the implications of climate change for safety at sea;

(d) Forestry, for example by mainstreaming adaptation in community forestry instructions and relevant policies and plans, by including adaptation and livelihood diversification measures in new community forestry law and by including measures for reducing the vulnerability of local forest communities in a supplement to national forest law;

(e) Health, for example through closer integration of meteorological and health data to facilitate understanding and monitoring the relationship between them;

(f) Land management, for example by integrating adaptation into national land and resources management frameworks or by training administrative staff and volunteers on the use of legal land rights packages;

(g) Urban planning, for example by developing a national master plan for coastal cities;

(h) Water, for example by identifying entry points for integrating ecosystem-based adaptation in the water sector into relevant national policies, strategies and budget allocations and/or through briefings, technical guidelines and training modules for decision makers, planners and practitioners on improving watershed functioning using ecosystem-based adaptation approaches.

C. Considering the guiding principles of the process to formulate and implement national adaptation plans

1. Considerations regarding gender

45. Most countries agree that gender considerations are an important component of the NAP process and that they should be consciously observed when implementing activities.

46. The focus of gender integration tends to be on women (versus the differences between men and women). At the same time, women are most often positioned as a

vulnerable group and as beneficiaries of adaptation actions, and less often as agents of change or stakeholders in the adaptation process.

47. Most countries have made efforts to integrate gender considerations into their NAPs. The most common approaches to integrating gender considerations are to establish gender sensitivity as a principle for the plan and/or to identify gender as a priority sector or adaptation option (see table 3 for examples of gender considerations compiled from available NAPs).

48. Some countries indicated that certain activities that are part of the process to formulate and implement NAPs will use and/or produce gender-disaggregated data (i.e. in undertaking vulnerability assessments) to inform more gender-sensitive adaptation actions.

49. Some countries made explicit reference to the engagement of women in national institutional arrangements.

50. Some also included indirect references that may present entry points for gender-sensitive NAPs (e.g. inequality, discrimination, inclusion, human rights, empowerment).

51. Most of the NAPs provide entry points for deeper and more consistent integration of gender considerations into future iterations of NAPs as well as into developing implementation and communication strategies and into monitoring and evaluation frameworks.

Table 3
Evidence of gender considerations in the national adaptation plans submitted as at February 2018

Planning aspect	*Examples of evidence presented*
Use of gender analysis	Brazil, Cameroon and Togo highlighted women's vulnerability to climate risks
	Burkina Faso included a section on gender-based vulnerability
	State of Palestine analysed the factors that limit adaptive capacity, highlighting the challenges faced by women, including high unemployment compared with men and undervalued contributions in the home
Participation of women and/or women's organizations in planning	Burkina Faso and Togo highlighted the role of women's groups in the process to formulate and implement national adaptation plans (NAPs)
	Kenya's NAP working group includes a number of female members
Identification of adaptation options	Burkina Faso, State of Palestine and Sudan identified specific adaptation options for addressing the vulnerability of women
	Cameroon included a project that focuses on gender and adaptation among the priorities in its NAP
	Togo identified climate-vulnerable women as key beneficiaries of a number of identified adaptation options
Implementation strategies	Burkina Faso plans to integrate women and women's associations in project steering committees and local-level decision-making bodies as well as to improve the capacity of women's associations, for example to engage in income-generating activities
	Cameroon aims to strengthen women's capacity and independence, for example by increasing access to training and facilitating the engagement of rural women in land management
	Sudan emphasized the need for women's empowerment, including through the organization of women's cooperative societies and enhancing their participation in environmental conservation and development
	Togo highlighted gender dimensions as a key principle in the implementation phase of its NAP and acknowledged the importance of addressing gender inequalities in, for example, access to land, for the NAP to achieve the intended impact
Monitoring and evaluation frameworks	Cameroon plans to track the adaptation funds provided to women as well as the number of women trained

Planning aspect	*Examples of evidence presented*
	Kenya intends to collect sex-disaggregated data and conduct gender analysis
	State of Palestine will monitor and evaluate the adaptation options identified for women

Source: NAP Global Network.

2. Considerations regarding participation and transparency

52. While the scope may vary from country to country, there is evidence of the engagement of civil society and other stakeholders throughout the process to formulate and implement NAPs. There also exists evidence of the use of the knowledge and experience of local communities. There is some evidence of the monitoring of actions and of resources put towards adaptation actions.

53. Southern Voices on Adaptation conducted a study[17] on how participation and transparency are reflected in the process to formulate and implement NAPs. Participation was assessed on four criteria, and transparency was assessed using six criteria. Figure 5 shows the scores awarded in the study for progress made by selected countries regarding participation and transparency in the process to formulate and implement NAPs.

Figure 5

Participation and transparency in the process to formulate and implement national adaptation plans

[17] See http://unfccc.int/files/adaptation/workstreams/national_adaptation_plans/application/pdf/participation_and_transparency_by_svadapt.pdf.

Source: Southern Voices on Adaptation.

3. Considerations regarding vulnerable communities, groups and ecosystems

54. Countries indicated that it is important to adopt a participatory approach involving all relevant stakeholders, including local communities, in formulating NAPs and to "leave no one behind" and ensure inclusiveness. The work should focus on protecting the most vulnerable, considering cost-effectiveness in the selection of interventions; promoting sustainable development to improve livelihoods; and promoting adaptive capacity.

55. Previous work on adaptation has highlighted vulnerable communities, groups and ecosystems. Detailed assessments undertaken under NAPs are therefore aimed at validating the available information, determining gaps and gathering additional data to adequately assess and consider vulnerable communities, groups and ecosystems and to provide recommendations for suitable actions to address their needs. These assessments are done in consultation with a wide range of stakeholders to enhance accuracy and to consider key areas.

4. Considerations regarding best available science and indigenous technologies and knowledge

56. Countries indicated that one of the primary limitations on developing climate change adaptation strategies stems from uncertainties and insufficient knowledge on the spatial and temporal patterns of climate change impacts, as well as uncertainty regarding socioeconomic trends and changes. They emphasized the importance of mapping key information requirements, as well as the possible sources of such information, including climate change trends and scenarios.

57. Meanwhile, there are ongoing efforts to address these and other limitations. GERICS, for example, supports the use of best available science in adaptation decision-making with its products and services, and develops, together with users, customized and science-based climate services for adaptation. Additionally, GERICS provides generic climate services that support knowledge transfer between science and users.

58. The wide range of climate services (including the use of state-of-the-art high-resolution climate data) must be customized to different biogeographical and climatic conditions. The customization needs to consider available scientific knowledge, what countries need and in which format to best develop and provide products and services for NAPs. Co-development and supported implementation are key to successful science-based climate services.

5. Reporting, monitoring and review of the process to formulate and implement national adaptation plans

59. Information on the reporting, monitoring and review of the process to formulate and implement NAPs is limited given that most developing countries that have initiated or launched the process are still at the laying the groundwork and preparatory elements stage of the process and have yet to define the scope and nature of the monitoring and review.

60. Most of the developing countries that have submitted a NAP[18] included a strategy for the monitoring and evaluation of both the process and the adaptation actions. The information provided includes indicators for each strategic objective, the timeline for assessment, the timeline for review and the agency responsible for conducting the assessment.

61. Two countries[19] shared that they had existing monitoring and evaluation systems for adaptation that included key performance indicators as part of their previously developed national adaptation strategies and that they will apply these in the formulation of their respective NAPs.

[18] Brazil, Burkina Faso, Cameroon, Chile, Kenya, Sri Lanka, State of Palestine, Sudan and Togo.

[19] Argentina and Philippines.

62. Some countries are successfully building on current and past adaptation planning and implementation efforts when applying the NAP technical guidelines to develop enhanced strategies and updated plans.[20]

63. The following are examples of experience and lessons learned regarding the monitoring and evaluation of the process to formulate and implement NAPs:

(a) The purpose of adaptation monitoring and evaluation at the national level and/or as part of the process to formulate and implement NAPs needs to be clarified. A shared understanding of the purpose and benefits of adaptation monitoring and evaluation is important to gain ownership. It would be useful to illustrate the range of different national adaptation monitoring and evaluation systems of various countries;

(b) Ownership by key government ministries is essential for operationalization, since adaptation spans a large group of ministries and agencies whose input is required to run the adaptation monitoring and evaluation system;

(c) There is a difference between monitoring the process to formulate and implement NAPs and monitoring adaptation outcomes and results. So far, most NAP-related monitoring and evaluation systems focus primarily on the process;

(d) National adaptation monitoring and evaluation systems need to be tailored to national circumstances to be useful.

IV. Progress in relation to support provided and received

64. Information on support provided thus far to developing country Parties for the process to formulate and implement NAPs is included in the information papers on NAPs prepared for SBI 41, 43, 45 and 47[21] as well as in reports on meetings of the LEG.[22]

65. Paragraphs 66–89 below provide additional information on the support provided and received by Parties for the process to formulate and implement NAPs.

A. Financial support

66. As at 11 April 2018, 47 countries[23] had submitted readiness proposals seeking financial support under the GCF Readiness and Preparatory Support Programme modality.

67. Some countries expressed difficulties in accessing the current funding for NAPs from the GCF. The process to secure funding is difficult due to rigid requirements that can only be met once the process has been put in place.

68. The Global Environment Facility (GEF) has approved six project proposals seeking to support activities related to the process to formulate and implement NAPs. Four other proposals are in the technically cleared pipeline of the Least Developed Countries Fund (LDCF).[24]

69. Most countries that have embarked on the process to formulate and implement NAPs continue to receive support from bilateral and multilateral agencies. Some countries have used domestic resources to undertake activities. Activities usually include preparing a

[20] China, Philippines and Republic of Korea.

[21] FCCC/SBI/2014/INF.25, FCCC/SBI/2015/INF.11, FCCC/SBI/2016/INF.11 and FCCC/SBI/2017/INF.12, respectively.

[22] FCCC/SBI/2014/13 and FCCC/SBI/2015/7.

[23] Albania, Antigua and Barbuda, Argentina, Armenia, Bangladesh, Benin, Bhutan, Bosnia and Herzegovina, Cameroon, Colombia, Costa Rica, Côte d'Ivoire, Democratic Republic of the Congo, Dominica, Dominican Republic, Ecuador, Egypt, Gabon, Ghana, Guatemala, Honduras, Iraq, Kenya, Lesotho, Liberia, Madagascar, Malawi, Mali, Mauritania, Mauritius, Mongolia, Montenegro, Myanmar, Nepal, Niger, Nigeria, Pakistan, Papua New Guinea, Serbia, Seychelles, South Sudan, Sudan, Swaziland, United Republic of Tanzania, Uruguay, Uzbekistan and Zimbabwe.

[24] See document FCCC/CP/2017/7, paragraph 106.

concept note, initiating and launching the process, and coordinating with ministries at an early stage of the project proposal for funding support for NAPs. Most countries undertake these start-up activities depending on existing human resources in their respective climate change units. Some countries indicated that they used resources from existing projects, especially if they target the same audience.

70. In addition to the support activities undertaken thus far, the Standing Committee on Finance (SCF) provides guidance to the GEF, specifically to the Special Climate Change Fund (SCCF) and the LDCF, as part of its annual reports to the COP.[25] The SCF recommended that NAP experts:

(a) Provide input to the preparation of such guidance, noting that such input should be based on the annual reports of the GEF to the COP. The SCF will discuss the 2018 draft guidance at its 17th meeting (10–12 April 2018) and finalize and provide it at COP 24;

(b) Consider the concluding comments from the 2014 SCF Forum on mobilizing adaptation finance as well as the engagement of the SCF with the Adaptation Committee.

71. The European Union highlighted the contributions of the European Union and its member States to global adaptation-related funds and programmes, including to the Adaptation Fund, the LDCF, the SCCF and the GCF, as well as the financial support provided through bilateral cooperation.

B. Technical support

72. The activities detailed in this section were communicated by relevant agencies providing support to countries for adaptation. The information covers a broad range of activities that may or may not lead to the formulation and implementation of NAPs, as some are stand-alone activities, except for those mandated under the Convention.

73. The LEG conducted the following activities aimed at providing technical guidance and support to countries for the process to formulate and implement NAPs:

(a) Five regional training workshops on NAPs focusing on the preparatory elements of the process;[26]

(b) The development of the NAP-SDG iFrame referred to in paragraph 13 above and its application in the regional training workshops referred to in paragraph 73(a) above;

(c) Further development and application of the country case studies on NAPs (Open NAPs) to provide a quick overview of how to implement a typical NAP at the national level;

(d) Two regional NAP Expos[27] to promote greater interaction among countries and to provide an opportunity to enhance collaboration with various partners at the regional level;

(e) Further development of NAP Central,[28] including the NAP tracking tool and the event pages for the regional training workshops on NAPs and the regional NAP Expos;

(f) Continued engagement with the GCF secretariat on ways to enhance the process for accessing support for the formulation and implementation of NAPs.

74. In addition, the LEG periodically meets with relevant agencies and partner organizations under the NAP technical working group and continues to discuss ways to enhance the provision of technical support to countries, including how countries can use the supplementary materials to the NAP technical guidelines as a tool for expanding the range of steps in the technical guidelines. A compilation of the supplementary materials shared on NAP Central is provided in table 4.

[25] See https://unfccc.int/process/bodies/constituted-bodies/standing-committee-on-finance-scf.

[26] For anglophone Africa, Asia, francophone Africa, Latin America and the Caribbean, and the Pacific islands.

[27] See http://napexpo.org/kampala and http://napexpo.org/asia.

[28] Available at http://unfccc.int/nap.

Table 4
Supplementary materials to the technical guidelines for the process to formulate and implement national adaptation plans as at 16 March 2018

Organization	*Supplementary material*	*Year published*
IFRC	How to Engage with National Adaptation Plans: Guidance for National Red Cross and Red Crescent Societies	2013
CBD	Promoting Synergies in Addressing Biodiversity and Climate Change Adaptation Issues: Linking National Adaptation Plans and National Biodiversity Strategies and Action Plans	2014
GIZ	NAP Align: Recommendations for aligning national adaptation plan processes with development and budget planning	2014
GIZ	The Stocktaking for National Adaptation Planning (SNAP) Tool	2014
PROVIA	Supporting NAP Development with the PROVIA Guidance: A User Companion	2014
SV	Civil Society Guide to the LEG/NAP Technical Guidelines	2014
WHO	WHO Guidance to Protect Health from Climate Change through Health Adaptation Planning	2014
CI	Tool for Integrating Ecosystems into Climate Change Adaptation Planning, draft for piloting	2015
FAO	Voluntary Guidelines to Support the Integration of Genetic Diversity into National Climate Change Adaptation Planning	2015
GIZ	Developing National Adaptation Monitoring and Evaluation Systems: A Guidebook	2015
GWP	National Adaptation Plan Process Water Supplement to the Technical Guidelines: Supporting the National Adaptation Plan Process	2015
IPACC	Guidelines towards Integrating African Indigenous and Traditional Knowledge in National Adaptation Plans, Platforms and Policies	2015
NAP-GSP	National Adaptation Plan (NAP) Process Country-level Training – Capacity Development for Multi-sectoral Involvement in the NAP Process	2015
SV	Joint Principles for Adaptation	2015
UNITAR	Skills Assessment for National Adaptation Planning – How Countries Can Identify the Gap	2015
WHO	Operational Framework for Building Climate Resilient Health Systems	2015
WMO	Climate Services for Supporting Climate Change Adaptation: Supplement to the Technical Guidelines for the National Adaptation Plan Process	2015
ITU	Information and Communication Technologies for Climate Change Adaptation in Cities	2016
NAP Global Network	Vertical Integration in National Adaptation Plan (NAP) Processes	2016
CCAFS	10 Best Bet Innovations for Adaptation in Agriculture: A Supplement to the UNFCCC NAP Technical Guidelines	2017
FAO	Addressing Agriculture, Forestry and Fisheries in National Adaptation Plans	2017
IIED	National Adaptation Plans: Understanding Mandates and Sharing Experiences	2017
NAP Global Network	Financing National Adaptation Plan (NAP) Processes: Contributing to the Achievement of Nationally Determined Contribution (NDC) Adaptation Goals	2017

Note: An up-to-date list and links to the material are maintained on NAP Central.

Abbreviations: CBD = Convention on Biological Diversity, CCAFS = Consultative Group for International Agricultural Research, Research Program on Climate Change, Agriculture and Food Security, CI = Conservation International, FAO = Food and Agriculture Organization of the United Nations, GIZ = Deutsche Gesellschaft für Internationale Zusammenarbeit, GWP = Global Water Partnership, IFRC = International Federation of Red Cross and Red Crescent Societies, IIED = International Institute for

Environment and Development, IPACC = Indigenous Peoples of Africa Coordinating Committee, ITU = International Telecommunication Union, LEG = Least Developed Countries Expert Group, NAP = national adaptation plan, NAP-GSP = National Adaptation Plan Global Support Programme, PROVIA = Global Programme of Research on Climate Change Vulnerability, Impacts and Adaptation, SV = Southern Voices on Adaptation, UNDP = United Nations Development Programme, UNITAR = United Nations Institute for Training and Research, WHO = World Health Organization, WMO = World Meteorological Organization.

75. The Adaptation Committee's task force on NAPs undertook the following activities related to supporting NAPs: preparing background materials for technical meetings on NAPs, developing an information paper on countries' experience in accessing GCF readiness funding for NAPs, collaborating with the Technology Executive Committee to advance the work on aligning technology needs assessments and NAPs, and working on the information paper on long-term adaptation planning.[29]

76. Several activities related to the process to formulate and implement NAPs have been conducted by other constituted bodies under the Convention. Such activities include developing a compilation of risk management approaches linked with loss and damage, developing a technical paper on vulnerable groups and ecosystems, and conducting stakeholder dialogues on knowledge assessment for adaptation.[30]

77. Several United Nations agencies have provided support to countries for accessing the GCF for funding for the formulation of NAPs. UNDP provided the following support in the reporting period:

(a) As at October 2017, UNDP had supported 15 developing countries[31] in applying for GCF readiness funding for the formulation of NAPs. One country (Liberia) had successfully received the first tranche of its disbursement. Additionally, UNDP was working with another 20 countries[32] to develop NAP proposals and expected them to be submitted to the GCF during the fourth quarter of 2017 and the first quarter of 2018;

(b) As at October 2017, UNDP had assisted four[33] LDCs in accessing the LDCF to fund projects that would contribute to the formulation of NAPs, while the projects of three[34] other countries had been technically cleared and were awaiting funding.

78. UNEP supported nine countries[35] in applying for GCF readiness funding for the formulation of NAPs. Additionally, UNEP is supporting an additional 12 countries[36] in developing NAP proposals and expects their national designated authorities to submit them to the GCF during the first or second quarter of 2018.

79. The Food and Agriculture Organization of the United Nations supported two countries[37] in applying for GCF readiness funding for NAPs.

80. The United Nations Institute for Training and Research supported developing countries that attended the training workshops referred to in paragraph 84 below in undertaking skills assessment for NAPs through the training modules delivered during the NAP-GSP workshops conducted by UNDP and UNEP in 2017.

81. The World Meteorological Organization provided support to developing countries for the process to formulate and implement NAPs through the Global Framework for

[29] See document FCCC/SB/2017/2, paragraphs 49–52.

[30] See documents FCCC/SBI/2015/INF.11, annex, FCCC/SBI/2016/INF.11 and FCCC/SBI/2017/INF.12.

[31] Armenia, Bangladesh, Benin, Bhutan, Bosnia and Herzegovina, Democratic Republic of the Congo, Ecuador, Egypt, Madagascar, Montenegro, Niger, Serbia, United Republic of Tanzania, Uruguay and Uzbekistan.

[32] Albania, Azerbaijan, Burundi, Congo, Guinea, Guinea-Bissau, Indonesia, Kyrgyzstan, Lebanon, Morocco, Mozambique, Namibia, Papua New Guinea, Republic of Moldova, Senegal, Tajikistan, Thailand, the former Yugoslav Republic of Macedonia, Turkmenistan and Viet Nam.

[33] Bangladesh, Chad, Niger and Senegal.

[34] Lao People's Democratic Republic, Malawi and Timor-Leste.

[35] Malawi, Mauritania, Mongolia, Myanmar, Nepal, Nigeria, Pakistan, Swaziland and Zimbabwe.

[36] Central African Republic, Eritrea, Lesotho, Maldives, Nauru, Sao Tome and Principe, Sierra Leone, South Sudan, Sri Lanka, Togo, Uganda and Vanuatu.

[37] Kenya and Sudan.

Climate Services. The World Meteorological Organization developed a policy brief on the role of national meteorological and hydrological services in NAPs[38] to help key actors and stakeholders understand their role in undertaking the process and formulating the plan. This is also part of the campaign of the World Meteorological Organization to promote to Parties the use of climate information services to guide and inform adaptation planning at the national level, in conjunction with supporting some countries[39] in developing national frameworks for climate services that aim to bridge the gap between the meteorological and forecasting community and the adaptation practitioners, including UNFCCC national focal points and technical teams working on NAPs.

82. A follow-up on health NAPs was reported to be undertaken in the last quarter of 2017 by the World Health Organization through the Pan American Health Organization. The organizations organized one training workshop for health representatives and NAP team coordinators in the Caribbean countries for developing the chapter on health in NAPs.[40]

83. The NAP Global Network was created in 2014 to enhance support for national adaptation planning in developing countries. Participants from 101 countries have joined the Network and it is working directly with 19 countries. The Network promotes sustained peer learning on the NAP process by convening adaptation planners from 21 countries – alongside staff from development partner agencies and technical experts – on an annual basis for targeted topics forums and by facilitating peer exchanges on specific topics. To support national-level action, the Network offers a country support hub that provides short-term technical support and expert advice to fill targeted gaps related to the process to formulate and implement NAPs. To enhance bilateral support for the process, 11 bilateral donor agencies have joined the Network. Initial funding for the Network has been provided by the United States of America and Germany and additional funding for Network activities has been provided by Canada and Austria. To share lessons learned and inform its work, the Network has developed communications and knowledge products on the following topics related to the NAP process: financing, gender, sector integration, vertical integration, strategic communications, and monitoring and evaluation.

84. The Japan–Caribbean Climate Change Partnership, which is being implemented by UNDP, supports eight Caribbean countries[41] in undertaking activities leading to the formulation of NAPs. In the reporting period, partner countries were supported in conducting stocktaking exercises for developing NAPs, updating their NAPs and enhancing national coordination, which included organizing two regional workshops.

85. The European Union highlighted its contributions to technical support programmes, such as the Pilot Program for Climate Resilience and Global Climate Change Action, and other technical support processes, as well as the support it has provided bilaterally through policy dialogues, partnerships and technical cooperation, including that provided through sectoral cooperation. The European Union emphasized that the support it provides ensures that the process to formulate and implement NAPs remains owned by the partner countries.

86. Under the Regional Gateway for Technology Transfer and Climate Change Action in Latin America and the Caribbean project, UNEP established a community of practice for NAP practitioners in Latin America and the Caribbean to support each other by sharing good practices and challenges in formulating NAPs and to facilitate contributions from researchers and international cooperation and civil society specialists.[42] The community of practice also hosts resource materials and modules that can help countries understand key activities of the NAP process.

87. GIZ has supported 30 countries, through different channels of support, in the process to formulate and implement NAPs. The technical support provided includes providing tools and topic guides, conducting training workshops and establishing a data platform for an

[38] Available at http://www.wmo.int/pages/prog/wcp/COP/cop23/2017-MISC-CLW-Policy-Brief-COP-23-171446_en.pdf.

[39] Burkina Faso, Chad, Madagascar, Mali, Niger, South Africa, Senegal and Vanuatu.

[40] See http://napexpo.org/workshops/lac.

[41] Belize, Dominica, Grenada, Guyana, Jamaica, Saint Lucia, Saint Vincent and the Grenadines, and Suriname.

[42] See http://napscommunity.com/en.

online exchange on adaptation and in-country support. Some countries[43] received in-country support, where partner countries are supported through NAP support projects or by designated GIZ staff in the field. Sixteen countries[44] are supported through selected activities relevant to the process to formulate and implement NAPs, such as the conduct of workshops to initiate or launch the process. GIZ has also supported countries through multi-stakeholder initiatives under the NAP Global Network. Further, GIZ has made available various publications and tools considered to assist countries in conducting specific steps and activities identified in the NAP technical guidelines. These tools and publications (see table 5) are available online.[45]

88. Several training workshops and outreach activities on NAPs were conducted by the LEG and various support programmes and networks from 2014 to date. Information on these events is provided on the Global NAP Calendar page maintained on NAP Central.[46]

89. Many countries indicated that the NAP support they receive is often targeted at specific activities in the process and does not ensure sufficient and predictable technical support and funding for the whole process. Support is usually received for conducting stakeholder assessments, sensitizing actors and relevant agencies, developing road maps and other relevant activities related to laying the groundwork for NAPs.

Table 5

List of national adaptation plan related tools referred to by Parties and organizations through the sources mentioned in annex I and at the meeting of Party experts

Related element building block	*Tool*	*Link*
Whole NAP process	NAP technical guidelines (by the LEG)	http://www4.unfccc.int/nap/Guidelines/Pages/Technical-guidelines.aspx
Laying the groundwork	Best Practices and Lessons Learned in Addressing Adaptation in Least Developed Countries (by the LEG)	http://www4.unfccc.int/nap/Documents%20NAP/50301_LEG_UNFCCC_BPLL_vol3.pdf
Stocktaking/ synthesizing available information	Stocktaking for National Adaptation Planning (by GIZ)	www4.unfccc.int/nap/Documents/Supplements/GIZ%20NAP%20SNAP%20factsheet%202014.pdf
	NAP Align (by GIZ)	www4.unfccc.int/nap/Documents/Supplements/GIZ%20NAPAlign%2025.11.14.pdf
Assessing risks and vulnerability	The Vulnerability Sourcebook: Concept and Guidelines for Standardised Vulnerability Assessments and Risk Supplement to the Vulnerability Sourcebook (by GIZ)	http://www.adaptationcommunity.net/vulnerability-assessment/vulnerability-sourcebook
Analysing past climate and climate change scenarios	Climate scenario data (by CCAFS)	http://ccafs-climate.org
	Climate maps and visualizations (by GERICS)	http://www.gerics.de
Preparatory elements	Global agroecological zones (by IIASA)	http://www.iiasa.ac.at/web/home/research/researchPrograms/water/GAEZ_v4.html
Appraisal, prioritization and ranking of adaptation options	Economics of adaptation tool (by KfW)	https://www.kfw-entwicklungsbank.de/PDF/Download-Center/Materialien/2016_No6_Guidebook_Economics-of-Climate-Adaptation_EN.pdf

[43] Albania, Benin, Brazil, Burkina Faso, Cambodia, Ghana, Grenada, Jordan, Madagascar, Mali (jointly with UNDP), Mauritania, Morocco, Senegal, Thailand, Togo, United Republic of Tanzania and Viet Nam.

[44] Angola, Cambodia, Côte d'Ivoire, Djibouti, Gambia, Indonesia, Madagascar, Mauritania, Mexico, Peru, Philippines, Rwanda, South Africa, Tunisia, United Republic of Tanzania and Viet Nam.

[45] Available at http://www.adaptationcommunity.net/nap-ndc/ndc-adaptation-toolbox/.

[46] Available at http://www4.unfccc.int/nap/Pages/GlobalNAPCalendar.aspx.

Related element building block	*Tool*	*Link*
	Prioritizing NAP measures (by GIZ)	http://www.adaptationcommunity.net/na%e-ndc/ndc-adaptation-toolbox/
Integration of adaptation into development planning	Vertical Integration in National Adaptation Plan (NAP) Processes: A Guidance Note for Linking National and Sub-national Adaptation (by NAP Global Network)	http://napglobalnetwork.org/resource%e/tical-integration-national-adaptation-plan-p-processes
Monitoring and evaluation	Monitoring and Assessing Progress, Effectiveness and Gaps under the Process to Formulate and Implement National Adaptation Plans: The PEG M&E Tool (by the LEG)	http://www4.unfccc.int/nap/Document%e%20NAP/50301_04_UNFCCC_Monitoring_Tool.pdf
	Adaptation M&E Navigator (by GIZ)	http://www.adaptationcommunity.net/monitoring-evaluation/me-navigator
	Tracking Adaptation in Agricultural Sectors (by FAO)	http://www.fao.org/3/a-i8145e.pdf
Access to funding	Information Paper on How the Process to Formulate and Implement National Adaptation Plans Can Be Supported in Least Developed Countries (by the LEG)	http://www4.unfccc.int/nap/Documents%e%20NAP/50301_07_UNFCCC_Support_for_NAPs.pdf
Gender considerations	Strengthening Gender Considerations in Adaptation Planning and Implementation in the Least Developed Countries (by the LEG)	http://www4.unfccc.int/nap/Documents%e%20NAP/50301_05_UNFCCC_Gender.pdf
Regional synergy and collaboration	Regional Synergy in Addressing Adaptation Through the National Adaptation Programmes of Action and the Process to Formulate and Implement National Adaptation Plans in the Least Developed Countries (by the LEG)	http://www4.unfccc.int/nap/Documents%e%20NAP/50301_06_UNFCCC_Regional_Synergy.pdf

Abbreviations: CCAFS = Consultative Group for International Agricultural Research, Research Program on Climate Change, Agriculture and Food Security, FAO = Food and Agriculture Organization of the United Nations, GERICS = Climate Service Center Germany, GIZ = Deutsche Gesellschaft für Internationale Zusammenarbeit, IIASA = International Institute for Applied Systems Analysis, LEG = Least Developed Countries Expert Group, M&E = monitoring and evaluation, NAP = national adaptation plan, PEG M&E = monitoring and reviewing progress, effectiveness and gaps.

V. Gaps and needs related to the process to formulate and implement national adaptation plans

90. Several gaps and needs related to the process to formulate and implement NAPs have been captured over time from various forums and training workshops, including from responses to the online questionnaire and interviews conducted on the margins of sessions:

(a) At the COP level:

(i) Updating of the NAP technical guidelines with more technical steps to support countries making decisions that will lead to the successful implementation of adaptation;

(ii) Updated and easy-to-navigate guidance on how to access GCF funding for the implementation of NAPs;

(iii) Additional efforts to ensure that all developing countries can access funding, for example by streamlining the requirements for accessing funding from different sources, developing approaches to match financing with adaptation needs and raising awareness of new financing schemes for adaptation (e.g. through various SCF forums);

(iv) Arrangements for continued funding between the formulation and the implementation of NAPs to avoid any gap in support, which would result in a loss of momentum;

(v) More examples to cover all countries in the Open NAP case studies;

(vi) Framing of the linkages of NAPs and nationally determined contributions (NDCs), bearing in mind that NAPs will help inform countries' adaptation ambition in future NDCs;

(b) At the country level:

(i) Concrete methods for guiding countries in managing and making decisions along the continuum between planned adaptation and contingency measures;

(ii) A more comprehensive approach to advancing the implementation of NAPs to ensure that the objective of reducing vulnerability is achieved;

(iii) Closer cooperation, including by sharing information, good practices, experience and learning, on science, planning, policies and implementation;

(iv) An adequate institutional framework to coordinate and implement adaptation;

(v) Additional technical support to advance actions towards meeting the objectives of reducing vulnerability, building adaptive capacity and enhancing resilience;

(vi) Capacity-building and support for costing adaptation, assessing adaptation development benefits and strengthening the integration of climate data into economic modelling;

(vii) Integrating adaptation into development planning at different levels to provide an opportunity to improve access to financing;

(viii) Improving complementarity and synergy between adaptation finance flows and between adaptation and development finance;

(ix) Enhancing finance by drawing on a wide variety of sources, enhancing coherence and complementarity among different sources, using public funding to leverage private finance, helping cities and communities to access funds, providing capacity-building that helps attract investment and sharing information on financial benefits of mitigation and adaptation;

(x) Lack of certainty and sufficient knowledge on spatial and temporal patterns of impacts, including on socioeconomic trends and changes, and challenges related to the information base for assessing the costs and benefits of adaptation;

(xi) Application of big data to support risk and vulnerability assessments and the monitoring and evaluation of progress, effectiveness and gaps for the process to formulate and implement NAPs;

(xii) More information on how countries have considered the guiding principles of the process to formulate and implement NAPs.

91. Officials and stakeholders should be trained on the benefits and challenges of the monitoring and evaluation process, including the purpose and scope, as well as on the identification of information needs and data sources. Officials need to be aware of the linkages between national monitoring and the evaluation and monitoring of NDCs, the SDGs and other global frameworks.

92. As mandated, the LEG compiled a list of needs (see table 6) related to adaptation arising from the Paris Agreement and the decisions adopted at COP 21 relating to the process to formulate and implement NAPs.

Table 6

Needs related to adaptation arising from the Paris Agreement and the decisions adopted by the Conference of the Parties at its twenty-first session related to the process to formulate and implement national adaptation plans

Area	*Articles of the Paris Agreement decisions*	*Need*
Climate scenarios, science, translation to local context, etc.	Article 7, paragraphs 7 and 9	Capacity to work effectively with climate data and climate change scenarios at the planning stage, including the application of the global temperature limit of less than 2 °C
Risk and vulnerability assessment and risk management	Article 7, paragraphs 7 and 9	Capacity to frame, analyse, define baselines, assess, manage and monitor climate change risk and vulnerability at relevant levels and scales
Linkage with development agenda	Article 2 and Article 7, paragraph 1	Capacity to effectively address climate change adaptation within the broader framework of the 2030 Agenda for Sustainable Development and the Sustainable Development Goals in the national context
Monitoring and evaluation	Articles 7, 13 and 14	Systematic monitoring and observations relevant to adaptation planning and implementation, and subsequent monitoring and evaluation of adaptation outcomes and impacts
Accessing support	Article 4, paragraph 5; Article 7, paragraph 13; and decision 1/CP.21, paragraphs 41–46	Adequate and effective mobilization of and access to financial and other forms of support, including from the Green Climate Fund, to support the formulation and implementation of national adaptation plans
Cross-cutting issues	Article 7, paragraph 5	Adequate engagement of multiple stakeholders in managing adaptation planning and implementation at multiple levels and scales, taking into account elements of successful adaptation (guiding principles)
Active learning from practice	Article 7, paragraph 9	Capacity to use experience and lessons learned during adaptation planning and implementation to inform future adaptation efforts, including by identifying and promoting best practices

Annex I

Information compiled by the Least Developed Countries Expert Group to support the assessment of progress in the process to formulate and implement national adaptation plans

The Least Developed Countries Expert Group (LEG) compiled the following data and information[1] to facilitate sharing with all relevant actors and players and to ensure that the analysis and the subsequent assessment of progress in the process to formulate and implement NAPs are based on a common pool of evidence:

(a) Submissions on national adaptation plans (NAPs);

(b) Submitted NAPs, shared by Parties on NAP Central;

(c) Responses of developing countries to the online questionnaire on NAPs;

(d) Country presentations at NAP events;

(e) Reports of the LEG to the Subsidiary Body for Implementation covering progress in the process to formulate and implement NAPs, including support provided and received;

(f) Annual reports on progress in the process to formulate and implement NAPs, including information on support provided and received, as communicated by Parties, United Nations organizations and other agencies, in accordance with decision 5/CP.17, paragraph 36, and the work programme of the LEG;

(g) Links to national communications and other national reports, in accordance with decision 5/CP.17;

(h) Reports of the operating entities of the Financial Mechanism, namely the Green Climate Fund and the Global Environment Facility.

[1] Available at http://unfccc.int/10544.

Annex II

Contributions to the assessment of progress in the process to formulate and implement national adaptation plans

Organization	*Topic of analysis*
Climate Service Center Germany (GERICS)	Available climate simulations and GERICS products for adaptation
Deutsche Gesellschaft für Internationale Zusammenarbeit	Support for monitoring and evaluation and the process to formulate and implement national adaptation plans (NAPs)
NAP Global Network	Integration of gender considerations into the process to formulate and implement NAPs
Southern Voices on Adaptation	Progress of participation and transparency in the NAP process
Standing Committee on Finance	Support provided and received
United Nations Development Programme	How the process to formulate and implement NAPs has contributed to greater coherence between adaptation, nationally determined contributions and the development agenda, including the Sustainable Development Goals in developing countries

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Administrative, financial and institutional matters
Budgetary matters

Possible approaches to prioritization, and budgetary implications of decisions of governing bodies and conclusions of subsidiary bodies

Note by the secretariat

Summary

At its forty-seventh session, the Subsidiary Body for Implementation (SBI) requested the secretariat to provide input on possible approaches to prioritization and on the budgetary implications of decisions of the governing bodies and conclusions of the subsidiary bodies, for consideration at SBI 48. This document provides three possible approaches to prioritization and three options for managing the budgetary implications of decisions of the governing bodies and conclusions of subsidiary bodies.

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I. Introduction

1. At its forty-seventh session, the Subsidiary Body for Implementation (SBI) requested the secretariat to provide input on possible approaches to prioritization and budgetary implications of decisions of the governing bodies and conclusions of the subsidiary bodies, for consideration at SBI 48.[1]

2. Given the scarce resources, it is difficult to fully implement all mandates. This document presents possible, non-exhaustive options for prioritization with a view to encouraging a discussion among and with Parties on how best to address this issue in a constructive and practical manner.

3. The information is presented in two parts:

(a) Chapter II provides three possible approaches to prioritization:

(i) Ranking activities and mandates;

(ii) Adopting practices from other United Nations organizations;

(iii) Prioritizing mandates on the basis of when they were issued;

(b) Chapter III provides three options for managing the budgetary implications of decisions of the governing bodies and conclusions of the subsidiary bodies:

(i) At each session, the secretariat could provide to all negotiating groups a simple, one-page list with standard cost information for typical activities as guidance;

(ii) As deemed appropriate, the chairs of negotiating groups at sessions could request the secretariat to provide information on budgetary implications in relation to draft texts as soon as possible;

(iii) The budgetary implications of draft decisions and conclusions could be provided before their adoption.

II. Possible approaches to prioritization

Ranking activities and mandates

4. Parties may wish to consider ranking mandates and activities that are to be implemented. Such an exercise would entail reviewing all existing mandates and ranking them according to priority and urgency. An activity or mandate would be implemented in accordance with its ranking and within the limits of available financial resources. The advantage of this approach is that resources allocation and mobilization would be guided by a collective understanding of Parties' priorities. The challenge would lie in Parties agreeing on the order of priority of the mandates and activities.

1. Adopting practices from other United Nations organizations

5. Rule 31, paragraph 2, of the United Nations Environment Programme (UNEP) rules of procedure states that, "when a proposal involving expenditure of UNEP funds is adopted, the UNEP Assembly is required to indicate, whenever appropriate, the priority or degree of urgency that it attaches to the project and, as the case may be, which current

[1] FCCC/SBI/2017/19, paragraph 149.

projects may be deferred, modified or eliminated to ensure that the work of UNEP is carried on most effectively."

6. The advantage of this approach is that it maintains the practice of prioritization, factoring in both existing and new activities and mandates. It also clarifies from the outset which activities and projects might not be implemented.

7. Such an approach would require a thorough review of existing mandates to ensure that not only new mandates and activities are subject to prioritization. Such a review would have financial implications.

2. Prioritizing mandates on the basis of when they were issued under the Convention, the Kyoto Protocol and the Paris Agreement

8. This approach would provide a simple prioritization criterion, but it would not take into consideration the complexity and, in some cases, continuation or overlapping of mandates.

9. The above-mentioned options highlight the complexity of developing prioritization criteria. Consequently, the secretariat has, so far, taken a pragmatic approach to planning and reviewing active mandates to determine, for example, which could be consolidated, which are enhanced by newer mandates and which are of a long-term nature and thus remain critical to the process irrespective of their date of issuance.

III. Budgetary implications of decisions of the governing bodies and conclusions of the subsidiary bodies

A. UNFCCC practice

10. Rule 15 of the UNFCCC draft rules of procedure states: "The secretariat shall report to the Conference of the Parties on the administrative and budgetary implications of all substantive agenda items submitted to the session, before they are considered by it. Unless the Conference of the Parties decides otherwise, no such substantive agenda item shall be considered until at least forty-eight hours after the Conference of the Parties has received the report of the secretariat on the administrative and budgetary implications".

11. Thus, the secretariat reports to the Conference of the Parties (COP) and its subsidiary bodies on the budgetary implications of decisions and conclusions. However, Parties are informed about budgetary implications of decisions and conclusions only after their adoption. Possible implications of this approach include the following:

(a) Informing Parties about the budgetary implications of decisions and conclusions after their adoption may mean that Parties agreed on decision or conclusions text that they would not have agreed to, or would have modified, if they had been fully aware of the related financial implications;

(b) Despite the inclusion of wording in decisions and conclusions stating that implementation is subject to the availability of funds, the adoption of decisions and conclusions may inadvertently convey the impression to Parties that the mandates and activities therein will be implemented. Of greater concern, however, is that in the absence of prioritization it is not possible for the secretariat to effectively determine the urgency of implementing or the potential impact of not implementing decisions and conclusions. As it stands, several mandated activities will not be implemented owing to unavailability of funds;

(c) The provision of information on budgetary implications post adoption may result in a continuous increase in mandated activities without requisite funding for implementation.

B. Practice within the United Nations

12. Several United Nations organizations have provisions in their rules of procedure relating to providing information on the budgetary implications of adopting decisions and resolutions.

13. For example, rule 153 of the rules of procedure of the General Assembly reads: "No resolution involving expenditure shall be recommended by a committee for approval by the General Assembly unless it is accompanied by an estimate of expenditures prepared by the Secretary-General. No resolution in respect of which expenditures are anticipated by the Secretary-General shall be voted by the General Assembly until the Administrative and Budgetary Committee (Fifth Committee) has had an opportunity of stating the effect of the proposal upon the budget estimates of the United Nations". An important aspect of this rule is that the Fifth Committee provides the budget estimate.

14. The rules of procedure of certain other organizations such as UNEP, go a step further, requiring activities to be prioritized when proposals involve expenditure of funds (see para. 6 above).

C. Possible options for consideration

1. Standard cost list

15. Parties could **request the secretariat to provide a one-page list** with the standard cost of undertaking typical activities, such as workshops, meetings, preparing papers, developing platforms, etc.

16. The advantage of this option is the availability of estimated budgetary implications prior to the consideration of draft conclusions and decisions. A critical drawback would be that outcomes under each agenda would be considered in isolation, without the full budgetary implications of all decisions and conclusions reached at the session.

2. Provision of budgetary implications for draft texts

17. Another option would be the COP requiring the chairs of negotiating groups to **invite the secretariat to provide information on budgetary implications in relation to a draft text as soon as possible** and, at the latest, during the last meeting of the group before the draft text is recommended for adoption by the governing or subsidiary body.

18. The advantage of this approach is that budgetary implications can be considered by the negotiating groups before recommending texts to the subsidiary and governing bodies. However, as in the previous option, recommendations and conclusions would be made in the absence of the full budgetary implications of all decisions and conclusions.

3. Provision of a statement on the budgetary implications of decisions and conclusions

19. The COP President or Chairs of the subsidiary bodies could **invite the secretariat to provide a statement on the budgetary implications of decisions and conclusions** before their adoption.

20. The advantage of this approach is that it makes Parties responsible for addressing the budgetary implications of activities. However, it could result in delays in the adoption of decisions and conclusions.

21. In this context, the COP could consider **establishing a budgetary committee** with a role similar to that of the Fifth Committee (see para. 13 above). The advantage of this approach is that Parties would be informed of the total budgetary implications of all decisions and conclusions, which would foster greater accountability.

22. Disadvantages of this approach include the reduction in time available during sessions for substantive negotiations, a focus on financial matters towards the end of the session, and the implications of establishing and servicing a budgetary committee on limited financial resources.

IV. Conclusions

23. Establishing possible approaches to the prioritization of mandates and activities is not a simple task. The secretariat will follow the guidance and decisions of the SBI.

24. Regarding the budgetary implications of decisions of the governing bodies and conclusions of the subsidiary bodies, the SBI may wish to consider the options provided and request the secretariat to provide such information as may be required to ensure that the budgetary implications of decisions and conclusions are appropriately considered.

25. The SBI may wish to consider requesting the secretariat to continue to review mandates and activities with a view to ensuring relevance and efficiencies and to allocate financial resources in a responsible and balanced manner while regularly reporting on the status of implementation of mandates and on financial status.

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2017 secretariat activities, programme delivery highlights and financial performance

Annual report by the secretariat

Summary

This summary of the first annual report of the secretariat was prepared in response to the mandate received from the Conference of the Parties at its twenty-third session.[1] The annual report covers the secretariat's activities in 2017, programme delivery highlights and financial performance to facilitate the understanding of a broad range of stakeholders with regard to what the secretariat is delivering and the challenges it is facing. The 2017 annual report will be published on 30 April 2018 and made available at http://unfccc.int.

[1] Decision 21/CP.23, paragraph 18.

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I. Mandate

1. In the context of improving the efficiency and transparency of the UNFCCC budget process, the Conference of the Parties (COP) requested the secretariat to prepare and make available an annual report as outlined in document FCCC/SBI/2016/INF.14, paragraph 37, to be considered at each session of the Subsidiary Body for Implementation following the closure of the preceding financial year, providing information on the secretariat's activities in the preceding year, programme delivery highlights and financial performance.[2]

II. Scope of the annual report

2. The 2017 annual report of the secretariat highlights the results of activities of the secretariat and illustrates significant events held and partnerships forged during the year, as well as the outcomes of negotiations at COP 23. Furthermore, the report captures the outlook for 2018 and the crucial next steps towards the implementation of the Paris Agreement. A summary of the report is provided below.

A. Achievements of the secretariat in 2017

1. Creating consensus on the global response to climate change

3. The secretariat facilitates dialogue among Parties each year to agree on common goals and approaches to address climate change. COP 23, held in Bonn, Germany, and presided over by Fiji, was a marked success. Key outcomes included the launch of the Talanoa Dialogue, the first-ever UNFCCC gender action plan, decisions on agriculture and the platform for indigenous peoples and local communities, and investments in climate action totalling USD 1 billion.

2. Bringing transparency to climate change commitments

4. The secretariat tracks the commitments of Parties, which is essential for the transparency of action and support. A robust monitoring, reporting and verification system supported by the secretariat has helped to build trust among Parties and identify the capacity-building needs of developing countries, has enhanced their ability to report on their actions and has contributed to the design and programming of targeted support.

3. Building resilience and adapting to climate change

5. The secretariat provides Parties with wide-ranging support on adaptation: from activities related to science and observation to planning and implementation. In 2017, the secretariat, by assisting expert bodies and committees, advanced national planning for adaptation; strengthened the Nairobi work programme on impacts, vulnerability and adaptation to foster the preparation of national adaptation plans that align with the Sustainable Development Goals; supported the launch of the Fiji Clearing House for Risk Transfer; and built knowledge and capacity through adaptation-focused tools, platforms and training.

4. Delivering finance and technology where they are needed

6. The secretariat supports Parties in mobilizing finance for greenhouse gas emission reductions and climate-resilient development. In 2017, advances were made by the Adaptation Fund, the Green Climate Fund and the Global Environment Facility in delivering climate finance. The secretariat piloted the needs-based climate finance project in over 10 countries; initiated the Green Investment Catalyst round table process to mobilize private sector finance; and closely supported the Technology Mechanism to

[2] As footnote 1 above.

accelerate the diffusion of technology needed for the adaptation to and mitigation of climate change.

5. Fostering cooperation to realize the Paris Agreement's potential

7. To catalyse and support climate action by Parties, the secretariat cooperates with a wide range of non-Party stakeholders. In 2017, the secretariat supported the high-level champions of global climate action in advancing the agenda of the Marrakech Partnership, fostered new non-traditional partnerships; recognized innovative solutions through the Momentum for Change awards; and supported implementation of nationally determined contributions through its regional collaboration centres and the NDC Partnership.

B. Outlook for 2018 and beyond

8. In 2018, Parties will take stock of progress on pre-2020 implementation. The nationally determined contributions will be informed and inspired by the Talanoa Dialogue and events such as the Global Climate Action Summit and regional climate weeks. At COP 24 in Katowice, Poland, the Paris Agreement work programme will be completed, ensuring that the world is ready to accelerate the implementation of the Agreement. In 2018 and beyond, the secretariat will continue to carry out its core work and enhance its ability to support, encourage and build on the global response to climate change.

C. Finances

9. The annual report provides key financial information, including total funding in 2017, as well as budgets and actuals for the trust funds for the core budget and the international transaction log for the biennium 2016–2017.

III. Publication of the annual report

10. The 2017 annual report will be published on 30 April 2018 and made available at http://unfccc.int.